# RESEARCH PROPOSAL

**Submitted to Symbiosis International University**

**for admission to the Ph.D. Program**

"A study of Management of Performance of college teachers of select colleges affiliated to Savitribai Phule Pune University"


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## Research Guide Details

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(i) Introduction depicting need and relevance of the proposed work

*"Education is not a preparation for life, education is life itself"* - John Dewey

The destiny of a country is determined by the intellectual and emotional maturity of the population composition. As per a recent UGC statistics, approximately 20 million students have enrolled for higher education through 35,539 colleges, affiliated to 700 Universities.[*] The education industry is thus instrumental in moulding the youth into knowledgeable, intellectual, mature citizens who shape the future of the nation. Successful attainment of the above objective is to a very large extent dependent on education imparted to them & the attributes and traits of the educators. It is therefore imperative that educators be adequately qualified and trained themselves; and further, be motivated by their employers through appropriate Performance Management Systems (PMS) in order to work zealously towards achievement of this end. Performance management may be understood as the process of creating a work environment or setting in which people are enabled to perform to the best of their abilities. Performance management in general, and performance appraisal in particular, of teachers (educators) can get the Institution and teachers face-to-face with job related realities, and evaluate the extent of goal achievement. Most importantly, it can serve as a motivator for teachers.

Need for the study:

Teachers primarily shoulder the responsibility of fostering quality education to their pupil. At higher educational institutions, teachers are categorized into different levels of hierarchy based on their experience and seniority. The teaching community therein comprises Professors, Associate professors, Assistant professors, Teaching associates, Adjunct and Visiting faculty members. The last two classes are not subject to PMS of colleges. Each one of the classes is subject to different magnitude of institutional as well as university level responsibilities and recipient to different compensation packages. It thus becomes crucial to understand how colleges manage the performance of their teachers. This research addresses the performance management system for college teachers in general; and concerns of professors, associate and assistant professors teaching at the higher educational institutions; with respect to employer initiative towards employee growth, and the Academic Performance Indicator (API) which is the Performance Based Appraisal System (PBAS) model mandated by the UGC as an objective appraisal tool.

The educational system in India until about a decade ago did not use any standardized

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* The data is obtained from UGC sources as quoted in "DrEducation : International Higher Education Blog" of 25th Aug, 2013; accessed electronically on 21st Dec 2013 through http://www.dreducation.com/2013/08/data-statistics-india-student-college.html

performance appraisal mechanism for teachers. This compels us to ponder over the need for a standardized tool to gauge teacher performance. Has the teaching job lost its nobility? Or is the sincerity of the teacher doubted? These are some philosophical angles that need probing at this stage.

Is the currently used model for performance appraisal of teachers indicative of the extent of international pressures for the same? Or is it rather an attempt to homogenize and rationalize the recruitments and promotions of teachers? Or does it reflect a trend towards corporatization of the educational sector? Answers to the above questions can be helpful in gaining insight into the academic rationale behind introduction of a model such as API for appraisal of teachers.

While the need for a formal appraisal system for teachers is still being questioned, it would be interesting to study the part played by employers in ensuring that teachers perform their roles well. Performance management involves activities which ensure that goals are consistently being met in an effective and efficient manner and has three primary elements, measurement, feedback and positive reinforcement. This research study aims at learning whether colleges believe in managing performance of their teachers towards attainment of institutional as well as personal growth, or not. Currently, just like manufacturing and other service sector industries, the educational sector is also getting competitive; and securing jobs in higher educational institutions has become a challenge. Further, having taken up the job, a blue print indicating scope for promotion to higher levels in the hierarchy needs to be prepared and policed.

With a standardized tool like API for teacher appraisal, in place, it would be meaningful to learn how employers can contribute to employee performance through effective PMS.

Relevance of the study:

Performance Management in corporate houses have become commonplace. Employers take care to establish an environment wherein jobs are well defined, employee selections are rigorous, expectations communicated clearly and early, training needs identified and met up, regular coaching and feedback provided through development discussions, execution of effective pay-for-performance system coupled with incentives, and in several cases stating a clear picture of career graph. Several of these elements seem difficult to implement in a profession like teaching, which is recognized by a high level of intangibles. The job is ill defined, selection of teachers is not based on any systematic scientific pattern, FDPs are conducted (though seldom need-based), performance expectations are not previously set and there is often vague communication of career opportunities. Despite all of the above, performance appraisal is periodically conducted with the help of uniform appraisal model, and performance related incentives announced. This

study will help throw light on the rigor of performance management systems (PMS) adopted by colleges to combat the above difficulties, and tests the efficacy of the current performance appraisal system. It will help to gain an in-depth understanding about the efforts undertaken by colleges towards better management of teacher performance, structure and design of the appraisal tool, the implementation/administration machinery, and most importantly, the issues, concerns and challenges faced by University and College authorities, Assessing officers, Review officers and assessees (teachers) in PMS. Based on the responses gathered, analysed and interpreted, there may be scope to highlight measures towards PMS betterment, and to recommend a new and improved model for performance appraisal of teachers. Such model may help to serve as a broad guideline in the development of performance appraisal system for teachers, taking into consideration the wide variety of roles and responsibilities they are required to handle.

Definitions:

*Teacher:* means a person or thing that teaches something; especially: a person whose job is to teach students about certain subjects. (Encyclopedia Britannica)

*Higher Education:* means a study beyond the level of secondary education. Higher Education mainly and generally means University level education. Higher Education means any of various types of educationgiven in postsecondary institutions of learning and usually affording, at the end of a course of study, a named degree, diploma, or certificate of higher studies. (Encyclopedia Britannica)

*Higher Educational Institutions*: include not only universities and colleges but also various professional schools that provide preparation in such fields as law, theology, medicine, business, music, and art. (Encyclopedia Britannica)

*Performance Management*: is a scientifically based, data-oriented management system. It consists of three primary elements-measurement, feedback and positive reinforcement (Daniels)

*Performance Appraisal:* Aswatappa, K(2007) defines performance appraisal as the assessment of an individual's performance in a systematic way, the performance being measured against such factors as job knowledge, quality and quantity of output, initiative, leadership abilities, supervision, dependability, cooperation, judgment, versatility, health, and all the like.

PMS includes clarifying job descriptions, appropriate selection of employees, negotiating performance standards and outcomes, providing effective orientation and training, ongoing education and feedback through appraisal, performance development discussions, initiating effective compensation and reward systems, providing career development opportunities and assisting exit interviews. Basically it helps employees to reconcile personal goals with

organizational goals and increase productivity and profitability of an organization using this process. In this context, it becomes useful to understand the system of performance appraisal followed by colleges chosen for the purpose of the study.

Academic Performance Indicator (API): The Model and Modus Operandi

The tool to be tested for efficacy is the performance appraisal instrument for teacher appraisals, which is the UGC mandated API Model. The tool is designed toconsist of crisp, closed ended questions/ statements, posed in order to capture data regarding performances in different facets of the educator's contribution to the institution. The API model consists broadly of three categories, two of which appraise a faculty on various roles and responsibilities entrusted and handled at the Institute or University level. The third category is concerned with research acumen and contribution. Each category consists of a group of questions which seek to elicit specific information regarding a teacher's performance within the said category. Each question/statement is assigned a weightage, with the maximum possible scores that may be given. Each category also indicates a minimum score that an assessee must obtain in order to be considered resourceful for the College/University, and to be regarded eligible for promotion. The tool is administered by the institution to each teacher (accompanied with guidelines for duly filling the template)so that they may assignscores against each of the performance indicators; thus resulting in self appraisal. Where calculations cannot be made with accuracy for any statements/questions, a personal estimate of the score may be provided. Such forms, with duly filled in self-appraised scores, should be submitted to the Head of the Institution. The templates are then reviewed in an objective manner, through verification of available and possible proofs..This may result in the award of new scores in each category, which may or may not match self-appraised scores. The duly validated forms are then submitted to the University for thorough scrutiny to identify and short-listteachers eligible for Career Advancement; and for determining the degree of pay package revision for each assessee. This is a brief description of the API Model, and the desired approach outlined by SavitribaiPhule Pune University for administration of the tool. In view of the above, researcher will try to explore the actual execution/implementation mechanism at the ground level.

(ii) Review of Literature:

Mr. Narayanmurthy N.R. [1] states that teachers should be made accountable to students for student learning. Bi-annual student surveys of teachers must be conducted, and the latter's pay structure and promotions must be based on such feedback. The focus here is that feedback from the most important stakeholders' of the education system, students; should play a major role in evaluating the effectiveness of a teacher, and thus be considered a key factor in the latter's appraisal.

Mr. Agarwal Pawan[2]states in his working paper on higher education in India, that providing uniform but attractive pay packages to quality teachers, can lead to lowered standards, thus proving to be a disaster. He expresses that governmental intrusion in job markets for academic professions are undesirable and needs to be re-worked. He suggests that in order to retain quality academicians, a differentiated pay-package with properly aligned incentives through the implementation of a pay-for-performance system and a kind of tenure system needs to be introduced. This paper therefore emphasizes on creating a scenario of performance linked pay for teachers, which is the possible outcome of only an effective appraisal mechanism.

FICCI - Ernst & Young Report [3] shows that while enrollment in higher educational institutions has grown 6 fold over the last 30 years, strength of faculty has only grown 4 times, thereby resulting in an acute shortage of faculty and extremely high student-teacher ratios. Further, the quality of education and research in particular has suffered immensely. As of March 2010, only 32.3% (159) of the total number of Indian universities and 13.1% (4,094) of the colleges in the country had been accredited by the National Assessment and Accreditation Council (NAAC).

The 12$^{th}$Five Year Plan emphasizes on need for faculty development programs (FDPs) at Higher Educational institutionsto address challenges in the area of faculty improvement. It also suggests that a conducive research environment, attractive pay packages, linkage with global counterparts and quality faculty development programs will go a long way in enabling faculty acquisition and retention. The achievements in research and effectiveness of FDPs can be gauged with the help of appropriate performance appraisal system.

(iii) Scope of the study:

The researcher seeks to study the performance management system including the UGC mandated performance appraisal system, adopted by NAAC 'A' Accredited, Granted higher educational institutions/ colleges offering conventional degree programs; located in Pune City and affiliated to Savitribai Phule Pune University. It further wishes to scrutinize the rationale behind introduction of a standardized performance appraisal system and its effect on the teacher community.

This research encompasses a study of the PMS adopted by higher educational institutions, through gathering of responses from employers about their role in influencing performance of teachers towards the achievement of institutional and personal goals. Given that performance appraisals are the sole determinant of incentives and promotions, the researcher is inquisitive to understand the employers' role in making such appraisals fair and fool-proof. It also probes whether the initiative taken by employers in ensuring quality performance of teacher's duties and responsibilities are good enough, and whether they are consciously directed at employee and institutional growth. The study is based on a study of 50% of the teachers of the above sample,

and all of the employers. The sample chosen is from colleges located in Pune city only, and this may be stated to be a limitation of this study.

(iv) Objectives of the study:

The research aims to identify performance management practices followed by the educational institutions under study. There is an intension to gauge the breadth and depth of the PMS adopted, with a view to identifying and creating an environment for holistic development. Further, despite having a comprehensive tool for performance appraisal, which seeks to fairly assess all facets of a teacher's performance, there still seems to exist, certain lacunae. There are certain areas where assessee's scores and proofs may be manipulated to reflect an untrue inference, thus defeating the very purpose of such independent and objective assessment. It is therefore necessary to test the efficacy of the API model and check whether it renders a fair, accurate and foolproof appraisal of teachers. This research intends to thoroughly examine the existing PMS in higher education, through a study of stakeholder responses and comments pertaining to the PMS in general, and appraisal model's structure and design, its contents and process of administration. The objectives of the study may be listed as follows:

a) To critically study the PMS adopted and how it has impacted teacher performance
b) To meticulously scrutinize the UGC mandated model for teacher performance appraisal
c) To study the cause-effect relationship between the appraisal system, and roles and responsibilities of teachers.
d) To learn the relevance and impact of peer and student feedback on the appraisal of a teacher.

(v) Research Questions:

a) Does the Performance Management System adopted by higher educational institutions ensure that teachers perform at their best in all roles and responsibilities, in the light of a standardized appraisal model?

   Supplementary research questions:

b) Can PMS be more holistically designed and implemented, so as to develop teachers for maximising student learning outcomes?
c) Can the existing appraisal model be improved in design/structure, content and/or process of its administration?

(vi) Research Methodology

In an educational set up, wherein PMS for education is not mandated, but appraisal strategy is, it would be interesting to study how the existence and strengthening of PMS would contribute to appraisal outcomes. Testing the efficacy of a relatively new system for teacher's performance

appraisal will be possible only through an empirical and evaluative study. In India out of the 20 million students enrolled for higher education, roughly 86%, i.e. 17.2 million represent students at the undergraduate level. Of the above number, around 84% students have opted for conventional higher education programs offering Bachelor's degree in Arts, Science and Commerce & Management.* Stratified sampling is proposed to be used for arriving at the sample.

The researcher intends to obtain data from select colleges affiliated to the Savitribai Phule Pune University (SPPU). This study is based on Aided Colleges offering conventional degree programs.

Within the University, Grant-in-aid colleges/institutions located in Pune City, having a NAAC 'A' Accreditation, have been chosen for the study. NAAC 'A'accredited Colleges are those which score high on quality parameters, and in choosing them for the purpose of the study, an attempt is made to rationalize the role of API Model in impacting quality.Within these colleges/institutions, data is sought to be collected from Professors, Associate Professors and

Assistant Professors with the help of a structured questionnaire. As of now since no appointments are made to the position of Professor, data is proposed to be obtained from very senior associate professors who are eligible and awaiting promotions to such position. 50% of all associate and assistant professors who are regular, full time, qualified teachers will be approached for data collection. Data is also sought to be obtained from Deans of Faculty and Heads of Department at the University, one-on-one with the help of an interview schedule.

The Vice Chancellor of the University, Director of Board of College and University Development (BCUD) as well as the Joint Director of Higher Education (JDHE) would be interviewed to understand the academic and bureaucratic rationale behind the introduction of Performance Based Appraisal System and associated Academic Performance Indicator (API) Model for performance appraisal. The Principal of colleges comprising the sample would be contacted for two reasons. Firstly, to gather data on the PMS adopted, and secondly, to understand their take on the appraisal system as Reviewing officers. A structured questionnaire is proposed to be used for this purpose. The IQAC Director would be interviewed to learn the appraisal mechanism from the standpoint of an Assessing officer.

It is also intended to collect data from a few retired teachers, who may be able to throw light on the relevance of a PMS in educational institutions. They would also be instrumental in guiding

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the researcher through the historical perspective of appraisal as well as in addressing the philosophical angle to the introduction of the API. It is also intended to correspond with teachers of one or two international institutions/ Universities to understand the PMS for teachers, followed there.

Another significant treasure of data lies in the existing API Model itself, which would be studied in conjunction with the guidelines prescribed for its administration, as recommended by the UGC, and as modified (if applicable) by SPPU.

Secondary data is also proposed to be gathered from good quality seminal and contemporary research papers on the topic, published in reputed National and International Journals.

Sample for Primary data collection (at a glance)

Savitribai Phule Pune University (SPPU)
↓
Colleges affiliated to SPPU
↓
SPPU affiliated Colleges located in Pune City
↓
Aided Colleges
↓
Aided colleges offering conventional degree programs (B.Sc., B.Com., etc.)
↓
Aided, NAAC 'A' Accredited conventional degree colleges
↓
Principal, IQAC Director, Professors, Associate and Assistant Professors of such colleges

*Others who will be approached for data collection include:*

Director of Board of College and University Development (BCUD)

Joint Director of Higher Education (JDHE)

Deans of Faculty, SPPU

Heads of Department, SPPU

Teachers who retired prior to implementation of API based PBAS

Teachers at colleges affiliated to Universities abroad

(vii) Schedule of the proposed work

The research work is proposed to be completed as follows:

From Registration:

Ongoing throughout research: Review of literature

9 months for scrutiny of existing performance appraisal system and data collection

6 months for data analysis and interpretation

2 months for documenting findings and recommendations

3 months for preparation of 1st draft

3 months for preparation of 2nd draft

3 months for final draft

TOTAL TIME: 2 YEARS AND 2 MONTHS

References:

[1] Mr. Narayanmurthy N.R., (2005) the co-founder of Infosys, gave this suggestion at the Fourth Ravi Matthai Memorial Lecture organized in Bangalore in November 2005, by the Academy of Human Resources Development.

[2] Mr. AgarwalPawan, (2006), *"Higher Education in India – Need for Change"* ICRIER, Working paper No. 180 (pg 119-121) New Delhi

[3] FICCI - Ernst & Young Report (2012) on *"Higher Education in India: Twelfth Five Year Plan (2012–2017) and beyond"*, at FICCI Higher Education Summit 2012, organized by supported by MHRD & Planning Commission, Government of India.

UGC data as quoted in "DrEducation : International Higher Education Blog" of 25th Aug, 2013; accessed electronically in Dec 2013 throughhttp://www.dreducation.com/2013/08/data-statistics-india-student-college.html